

Practitioner's Docket No. ACT-121B (51917)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of: Dan A. STEINBERG
Application No.: 09/827,183 Group No.: 2874
Filed: April 6, 2001 Examiner: Jennifer Doan
For: METHODS AND DEVICES FOR COUPLING OPTOELECTRONIC
PACKAGES

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Date: April 9, 2004

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

- a. ☒ Submitted herewith is a legible copy of (i) each U.S and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE
(check at least one box)

- a. ☒ Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b. ☐ A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:

- c. ☐ The following additional information is provided for the Examiner's consideration:

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)
(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☒ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☐ No certification; therefore, a fee in the amount of \$_____ is required by 37 C.F.R. § 1.17(p).
- or
- b. ☐ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

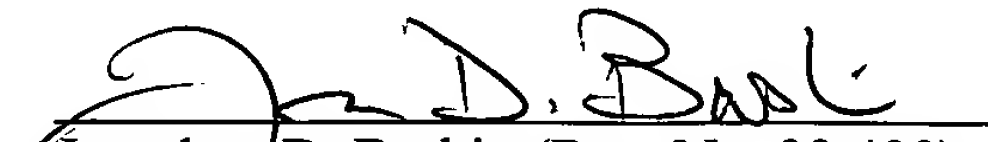
☐ Please charge Deposit Account No. 04-1105 in the amount of \$_____ for the above-indicated fee. A triplicate copy of this paper is attached.

☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

Date: April 9, 2004


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Sheet 1 of 1

LIST OF ART CITED BY APPLICANT

(Use several sheets if necessary)

| | |
|--|---------------------------------|
| Atty Docket No. ACT-121B (51917) | Serial No. 09/827,183 |
| Applicant Dan A. STEINBERG | |
| Filing Date April 6, 2001 | Group 2874 |

U.S. Patent Documents

| EXAMINER INITIALS | | DOCUMENT NUMBER | DATE | NAME | Class/Subclass | FILING DATE IF APPROPRIATE |
|----------------------|----|--------------------|------------|-------------------|----------------|-------------------------------|
| | AA | 2002/0021881 | 02/21/2002 | Steinberg | | |
| | AB | 2002/0196998 | 12/26/2002 | Steinberg et al. | | |
| | AC | 2003/0034438 | 02/20/2003 | Sherrer et al. | | |
| | AD | 5,297,228 | 03/22/1994 | Yanagawa et al. | | |
| | AE | 5,926,599 | 07/20/1999 | Bookbinder et al. | | |
| | AF | 6,103,344 | 08/15/2000 | Ota et al. | | |
| | AG | 6,163,639 | 12/16/2000 | Ollier et al. | | |
| | AH | 6,241,399 | 06/05/2001 | Nobuhara | | |
| | AI | 6,257,772 | 07/10/2001 | Nakanishi et al. | | |
| | AJ | | | | | |
| | AK | | | | | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | Class/Subclass | Translation Yes/No |
|--|----|--------------------|------------|---------|----------------|-----------------------|
| | AL | 1998227948 | 08/25/1998 | Japan | | |
| | AM | 03/041129 | 05/15/2003 | WO | | |
| | AN | | | | | |
| | AO | | | | | |
| | AP | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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|--|----|--|
| | AQ | |
| | AR | |
| | AS | |

Examiner

Date Considered

*EXAMINER: Initial document considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.